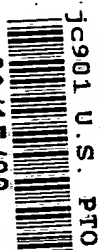


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37 C.F.R. § 1.53(b)

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37 C.F.R. § 1.53(b)

08/15/00

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No: 12672US01

First Inventor or Application

Identifier: Robert Carey

Title: Techniques of Selecting Securities For a Portfolio Using Buyback

Ratio and Dividend Yield

Express Mail Label No: EL282691932US

APPLICATION ELEMENTS	ADDRESS TO: Assistant Commissioner of Patents Box Patent Application Washington DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form*	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification Total Pages 13 Preferred Arrangement: Title, Cross Ref., St. Re Fed. Research, Background, Summary, Description Of Drawings, Detailed Description, Claims, Abstract	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy
3. <input checked="" type="checkbox"/> Drawings Total Sheets 2	b. <input type="checkbox"/> Paper Copy (identical to computer copy)
4. Oath or Declaration Total Pages a. <input type="checkbox"/> Newly executed (original or copy)	c. <input type="checkbox"/> Statement verifying identity of above copies.
b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/ divisional with Box 16 completed)	ACCOMPANYING APPLICATION PARTS
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b)	7. <input type="checkbox"/> Assignment Papers (Cover sheet & document(s))
*Note: For Items 1 & 13: In order to be entitled to pay small entity fees, a small entity statement is required.	8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney
(37 C.F.R. § 1.27), except if one filed in a prior application is relied upon (37 C.F.R. § 1.28).	9. <input type="checkbox"/> English Translation Document (if applicable)
	10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
	11. <input type="checkbox"/> Preliminary Amendment
	12. <input type="checkbox"/> Return Receipt Postcard (MPEP 503)
	13. <input type="checkbox"/> Small Entity Statement(s)* <input type="checkbox"/> Statement filed in prior application. Status still proper and desired.
	14. <input type="checkbox"/> Certified Copy of Priority Document(s)
	15. <input type="checkbox"/> Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application /

Prior application information: Examiner

Group Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**17. CORRESPONDENCE ADDRESS**

Name	Ronald E. Larson, Esq.				
Address	500 W. Madison Street, 34th Floor				
City	Chicago	State	Illinois	Zip Code	60661-2511
Country	United States of America	Telephone	312 775-8000	Fax	312 775-8100

Name (print/type)	Ronald E. Larson	Registration No.	24,478
Signature	<i>Ronald E. Larson</i>	Date	August 15, 2000

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FEE TRANSMITTAL

for FY 2000

Small Entity payments must be supported by a small entity statement. See forms PTO/SB/09-12 and 37 C.F.R. 1.27-.28.

TOTAL PAYMENT 690

Complete If Known

Application No: to be assigned

Filing Date: herewith

First Inventor: Robert Carey

Examiner Name:

Group/Art Unit:

Attorney Docket N 12672US01

METHOD OF PAYMENT

1 ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account No. 13-0017

Deposit Account Name:

McAndrews, Held & Malloy

☒ Charge Any Additional Fee Required

Under 37 C.F.R. 1.16-1.17.

2 ☒ Payment Enclosed

☒ Check

FEE CALCULATION**1 BASIC FILING FEE**

Larg Y	Small Y	Fee	Fee Paid
Entit ?	Entit ?	Description	
690 X	345	Utility filing fee	690
310	155	Design filing fee	
480	240	Plant filing fee	
690	345	Reissue filing fee	
150	75	Provisional filing fee	
SUBTOTAL (1)			690

2 EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee From Below	Fee Paid
16	-20* = 0 X	18 =	0
Independent Claims	Extra Claims		
3	-3* = 0 X	78 =	0
Multiple Dependent		0 =	0
*or number previously paid, if greater.			
Larg Y	Small Y	Fee	
Entit ?	Entit ?	Description	
18	9	Claims in excess of 20	
78	39	Ind. claims in excess of 3	
260	130	Mult. Dep. Claim if not paid	
78	39	*Reissue independent Claims over original patent	
18	9	*Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			0

FEE CALCULATION CONTINUED**3 ADDITIONAL FEES**

Larg Y	Small Y	Fee	Fee Paid
Entit ?	Entit ?	Description	
130	65	Surcharge - Late filing fee or oath	
50	25	Surcharge - Late provisional filing fee or cover sheet	
130	130	Non-English Specification	
2520	2520	Filing a request for reexamination	
920	920	Requesting publication of SIR prior to Examiner action.*	
1840	1840	Requesting publication of SIR after Examiner action.*	
110	55	Extension for reply within 1st mon.	
380	190	Extension for reply within 2d mon.	
870	435	Extension for reply within 3d mon.	
1360	680	Extension for reply within 4th mon.	
1850	925	Extension for reply within 5th mon.	
300	150	Notice of Appeal	
300	150	Filing brief in support of appeal	
260	130	Request for oral hearing	
1510	1510	Petition for a public use proceeding	
110	55	Petition to revive - unavoidable	
1210	605	Petition to revive - unintentional	
1210	605	Utility issue fee (or reissue)	
430	215	Design issue fee	
580	290	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Petitions for provisional applications	
240	240	Information Disclosure Statement	
40	40	Recording each patent Assignment per property (times no. of properties)	
690	345	Filing submission after final rejection (37 CFR 1.129(a))	
690	345	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3)			0

Submitted By:

Name: Ronald E. Larson
McAndrews, Held & Malloy, Ltd.

Reg. No: 24,478 Telephone: 312-775-8000

Signature:

Ronald E. Larson

Date: August 15, 2000

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